

August 2007 Updates to the Child Care Center Rule Interpretation Manual

Changes are underlined and **bolded** in **purple** in the right-hand column.

Previous Version	8-1-07 Version
R430-100-9. RECORDS.	
<p>(1) The provider shall maintain the following records on-site for review by the Department:</p> <p>(h) records for each currently enrolled child, including the following:</p> <p>(i) an admission form containing the following information for each child:</p> <p>(A) name;</p> <p>(B) date of birth;</p> <p>(C) date of enrollment;</p> <p>(D) the parent's name, address, and phone number, including a daytime phone number;</p> <p>(E) the names of people authorized by the parent to pick up the child;</p> <p>(F) the name, address and phone number of a person to be contacted in the event of an emergency if the provider is unable to contact the parent;</p> <p>(G) the name, address, and phone number of an out of area/state emergency contact person for the child, if available; and</p> <p>(H) current emergency medical treatment and emergency medical transportation releases with the parent's signature;</p> <p>(ii) a current annual health assessment form as required in R430-100-14(5);</p> <p>(iii) current immunization records or documentation of a legally valid exemption, as specified in R430-100-14(4);</p> <p>(iv) a transportation permission form, if the center provides transportation services;</p> <p>(v) a six week record of medication permission forms, and a six week record of medications actually administered; and</p> <p>(vi) a six week record of incident, accident, and injury reports;</p> <p>(vii) a six week record of eating, sleeping, and diaper changes as required in R430-100-23(12), R430-100-24(15); and</p>	<p>(1) The provider shall maintain the following records on-site for review by the Department:</p> <p>(h) records for each currently enrolled child, including the following:</p> <p>(i) an admission form containing the following information for each child:</p> <p>(A) name;</p> <p>(B) date of birth;</p> <p>(C) date of enrollment;</p> <p>(D) the parent's name, address, and phone number, including a daytime phone number;</p> <p>(E) the names of people authorized by the parent to pick up the child;</p> <p>(F) the name, address and phone number of a person to be contacted in the event of an emergency if the provider is unable to contact the parent;</p> <p>(G) the name, address, and phone number of an out of area/state emergency contact person for the child, if available; and</p> <p>(H) current emergency medical treatment and emergency medical transportation releases with the parent's signature;</p> <p>(ii) a current annual health assessment form as required in R430-100-14(5);</p> <p>(iii) current immunization records or documentation of a legally valid exemption, as specified in R430-100-14(4);</p> <p>(iv) a transportation permission form, if the center provides transportation services;</p> <p>(v) a six week record of medication permission forms, and a six week record of medications actually administered; and</p> <p>(vi) a six week record of incident, accident, and injury reports;</p> <p>(vii) a six week record of eating, sleeping, and diaper changes as required in R430-100-23(12), R430-100-24(15); and</p>

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<p><u>Rationale / Explanation</u></p> <p>The health and safety of individual children requires that information regarding each child be kept at the center and available to staff on a need-to-know basis. Names of individuals authorized to pick children up are needed to prevent children from being taken by unauthorized individuals. Emergency treatment consent is needed in order to obtain medical care for children in emergencies. Information about each child's health status and needs and medications is required to ensure that caregivers meet the needs of each individual child. Admission of children without this information can leave the center unprepared to deal with children's daily and emergent health needs. Records of child injuries can be used to discern possible child abuse, and to help prevent future injury. CFOC, pg. 71 Standard 2.054; pg. 87 Standard 3.005; pgs. 359-364 Standards 8.046, 8.047, 8.048, 8.049, 8.050, 8.051; pgs. 369-370 Standard 8.062</p> <p>Review of center records by the Department is used to determine, in part, the center's compliance with the licensing rules. CFOC, pg. 367 Standard 8.057</p> <p><u>Enforcement</u></p> <p>Licensing Specialists will look at the following percentages of child records. A center will considered to be in compliance with this rule if they have all of the required records for 90% of the files reviewed.</p> <table><tr><th><u># of Children Enrolled</u></th><th><u># of Records to be Reviewed</u></th><th><u># of Complete Records for 90% Compliance</u></th></tr><tr><td>20 or less</td><td>10</td><td>9</td></tr><tr><td>21-40</td><td>15</td><td>14</td></tr><tr><td>41-60</td><td>20</td><td>18</td></tr><tr><td>61+</td><td>25</td><td>23</td></tr></table> <p>If a center maintains information required in the admission form in another form [for example, if the center has a child's enrollment date on a form (paper or electronic) other than the admission form], they will be considered in compliance with the rule. If a center had a pre-printed supply of admission forms made before the new rules went into effect (12-30-06), and the only thing missing from these pre-printed forms is a space for the out of area/state contact person, the center can use up their existing forms without being considered out of compliance, and can add this information at the next printing.</p> <p>If the center's child admission form asks for all of the required information, but the parent has not filled out the form completely, the center will be considered in compliance with this rule.</p>	<u># of Children Enrolled</u>	<u># of Records to be Reviewed</u>	<u># of Complete Records for 90% Compliance</u>	20 or less	10	9	21-40	15	14	41-60	20	18	61+	25	23	<p><u>Rationale / Explanation</u></p> <p>The health and safety of individual children requires that information regarding each child be kept at the center and available to staff on a need-to-know basis. 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<p>Acceptable immunization records can either be in the pink state immunization form, the yellow card from the local health department, or any immunization record from a health care provider.</p> <p>Level 2 Noncompliance: If there is not a admission form (as described in the following paragraph), or if a provider transports a child without a completed transportation permission form.</p> <p>In order to be in compliance, the child admission form must have at least the following information completed: name; date of birth; the parent's name, address, and phone number, including a daytime phone number; the names of people authorized by the parent to pick up the child; the name, address and phone number of a person to be contacted in the event of an emergency if the provider is unable to contact the parent (unless the parents don't know anyone in the area they can list); and current emergency medical treatment and emergency medical transportation releases with the parent's signature. This means an admission form can be in compliance if it is missing the child's date of enrollment, an out-of-state emergency contact person, or an in-state emergency contact person if the parent does not know anyone they could list.</p> <p>Level 3 Noncompliance: If any record other than the admission form or the transportation permission form (if the center transports the child) is incomplete or missing, or if the admission form is missing any information other than that specified above in Level 2 Noncompliance.</p> <p>If a provider indicates they do not have any of the following records, cite the rule number listed in the bullets below, not this rule number, as being out of compliance:</p> <ul style="list-style-type: none"> • a current annual health assessment form as required in R430-100-14(5) • current immunization records as specified in R430-100-14(4), • a six week record of medication permission and administration forms as required in R430-100-17(7-8) • a six week record of incident, accident, and injury reports as required in R430-100-13(4), or • a six week record of eating, sleeping, and diaper changes as required in R430-100-23(12) R430-100-24(15). <p>If the provider indicates they have any of these records, but cannot find them during an on-site visit, cite this rule number [R430-9(1...)] only as being out of compliance. However, should the provider still not have the required record(s) on the follow-up visit, or if dates on the</p>	<p>compliance with this rule:</p> <p>Acceptable immunization records can either be in the pink state immunization form, the yellow card from the local health department, or any immunization record from a health care provider.</p> <p>Level 2 Noncompliance: If there is not a admission form (as described in the following paragraph), or if a provider transports a child without a completed transportation permission form.</p> <p>In order to be in compliance, the child admission form must have at least the following information completed: name; date of birth; the parent's name, address, and phone number, including a daytime phone number; the names of people authorized by the parent to pick up the child; the name, address and phone number of a person to be contacted in the event of an emergency if the provider is unable to contact the parent (unless the parents don't know anyone in the area they can list); and current emergency medical treatment and emergency medical transportation releases with the parent's signature. This means an admission form can be in compliance if it is missing the child's date of enrollment, an out-of-state emergency contact person, the address of the emergency contact person, or an in-state emergency contact person if the parent does not know anyone they could list.</p> <p>Level 3 Noncompliance: If any record other than the admission form or the transportation permission form (if the center transports the child) is incomplete or missing, or if the admission form is missing any information other than that specified above in Level 2 Noncompliance.</p> <p>If a provider indicates they do not have any of the following records, cite the rule number listed in the bullets below, not this rule number, as being out of compliance:</p> <ul style="list-style-type: none"> • a current annual health assessment form as required in R430-100-14(5) • current immunization records as specified in R430-100-14(4), • a six week record of medication permission and administration forms as required in R430-100-17(7-8) • a six week record of incident, accident, and injury reports as required in R430-100-13(4), or • a six week record of eating, sleeping, and diaper changes as required in R430-100-23(12) R430-100-24(15). <p>If the provider indicates they have any of these records, but cannot find them during an on-site visit, cite this rule number [R430-9(1...)] only as being out of compliance. However, should the provider still not have the required record(s) on the follow-up visit, or if dates on the</p>

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<p><i>records at the follow-up visit indicate the record was not completed until after the initial visit, both this rule R430-9(1...) and the applicable rule listed in the bulleted items above will be cited as out of compliance.</i></p> <p><i>If lack of information on a health assessment resulted in an emergency situation (seizure, allergic reaction, etc.) in which caregivers did not have the needed information, cite R430-100-14(5), not this rule.</i></p>	<p><i>records at the follow-up visit indicate the record was not completed until after the initial visit, both this rule R430-9(1...) and the applicable rule listed in the bulleted items above will be cited as out of compliance.</i></p> <p><i>If lack of information on a health assessment resulted in an emergency situation (seizure, allergic reaction, etc.) in which caregivers did not have the needed information, cite R430-100-14(5), not this rule.</i></p>